

06/30/99  
JCS83 U.S. PTO

NEW UNITED STATES UTILITY PATENT APPLICATION  
under 37 C.F.R. 1.53(b)

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Atty. Docket No. 3378/804900

JCS15 U.S. PTO  
09/345148  
06/30/99

CERTIFICATE OF EXPRESS MAILING UNDER 37 C.F.R. § 1.10: The undersigned hereby certifies that this United States Patent Application and all papers noted herein as being attached, are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" Service under 37 C.F.R. § 1.10 today, June 30, 1999 and is addressed to: Box: Patent Application, Assistant Commissioner for Patents, Washington, D.C. 20231.

Express Mail Label No.: EL058488675US

By Kathleen M. Williams  
Kathleen M. Williams, Ph.D.

Assistant Commissioner of Patents  
Box Patent Applications  
Washington, D.C. 20231

Express Mail Label No.: EL058488675US

Enclosed herewith is a new patent application and the following papers:

First Named Inventor (or application identifier): Andrew H. Segal

Title of Invention: **CD40 Ligand Enhanced Cells and Methods of Modulating an Immune Response to an Antigen**

1. ☒ Specification 111 pages (including specification, claims, abstract) / 83 claims (11 independent)

2. ☒ Declaration/Power of Attorney is:

☒ attached in the regular manner

☐ NOT included, but deferred under 37 C.F.R. § 1.53(f).

3. ☐      Distinct sheets of ☐ Formal ☐ Informal Drawings

4. ☐ Preliminary Amendment.

5. ☐ Information Disclosure Statement

☐ Form 1449

☐ A copy of each cited prior art reference

6. ☒ Assignment with Cover Sheet.

7. ☐ Priority is hereby claimed under 35 U.S.C. § 119 based upon the following application(s):

Country	Application Number	Date of Filing (day, month, year)
US	60/091,525	July 2, 1998

☐ Priority is hereby claimed under 35 U.S.C. § 120 based upon the following application(s):

Country	Application Number	Date of Filing (day, month, year)

8. ☐ Priority document(s).

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9. ☒ Statement Claiming Small Entity Status
10. ☐ Microfiche Computer Program (Appendix).
11. ☐ Nucleotide and/or Amino Acid Sequence Submission.  
☐ Computer Readable Copy.  
☐ Paper Copy (identical to computer copy).  
☐ Statement verifying identity of above copies.

12. Calculation of Fees:

FEES FOR	EXCESS CLAIMS	FEE	AMOUNT DUE
Basic Filing Fee (37 C.F.R. § 1.16(a))			\$760.00
Total Claims in Excess of 20 (37 C.F.R. § 1.16(c))	63	18.00	\$1,134.00
Independent Claims in Excess of 3 (37 C.F.R. § 1.16(b))	8	82.00	\$656.00
Multiple Dependent Claims (37 C.F.R. § 1.16(d))	y	270.00	\$270.00
Subtotal - Filing Fee Due			\$2,820.00
	REDUCE BY (%)   (\$)		
Reduction by 50%, if Small Entity (37 C.F.R. §§ 1.9, 1.27, 1.28)	0.50		\$1,410.00
<b>TOTAL FILING FEE DUE</b>			<b>\$1,410.00</b>
Assignment Recordation Fee (if applicable) (37 C.F.R. § 1.21(h))	0	40.00	\$1,450.00
<b>GRAND TOTAL DUE</b>			<b>\$1,450.00</b>

13. PAYMENT is:

- ☐ included in the amount of the GRAND TOTAL by our enclosed check. A general authorization under 37 C.F.R. § 1.25(b), second sentence, is hereby given to credit or debit our Deposit Account No. 19-0733 for the instant filing and for any other fees during the pendency of this application under 37 C.F.R. §§ 1.16, 1.17 and 1.18.
- ☒ not included; will be paid with response to Notice of Missing Parts.

14. All correspondence for the attached application should be directed to:

Banner & Witcoff, Ltd.  
28 State Street  
Boston, MA 02109  
Telephone: (617) 227-7111  
Facsimile: (617) 227-4399

Date: June 30, 1999 By: Kathleen Williams  
Kathleen M. Williams, Ph.D.  
Reg. No. 34,380

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant or Patentee: Andrew H. Segal

Serial No.: Not yet assigned

Filed: Concurrently herewith

Entitled: CD40 Ligand Enhanced Cells and Methods of Modulating an Immune Response to an Antigen

Attorney Docket No.: 3378/80490

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS  
(37 CFR 1.9(d) AND 1.27(d)) -SMALL BUSINESS CONCERN**

I hereby declare that I am an official empowered to act on behalf of the small business concern identified below:

Name of Organization: **Genitrix**

Address of Organization: **160 Second Street, Cambridge, MA 02142**

I hereby declare that the small business concern identified above qualifies as a small business concern as defined in 37 C.F.R. § 1.9(d) for purposes of paying reduced fees under § 41(a) and (b) of Title 35, United States Code, with regard to the invention entitled

Cytokine Coated Cells and Methods of Modulating an Immune Response to an Antigen  
by inventor(s) Andrew H. Segal

described in

- ☒ the specification filed herewith  
☐ Application Serial No. \_\_\_\_\_, filed \_\_\_\_\_.  
☐ Patent No. \_\_\_\_\_, issued \_\_\_\_\_.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern with regard to the above-identified invention.

If the rights held by the above identified small business concern are not exclusive, each individual concern or organization having rights in the invention is listed below\* and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR § 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR § 1.9(d), or a nonprofit organization under 37 CFR § 1.9(e).

Andrew H. Segal  
NAME OF PERSON SIGNING

President  
TITLE IN ORGANIZATION

160 Second Street, Cambridge, MA 02142  
ADDRESS

AH Segal  
SIGNATURE

6/30/99  
DATE